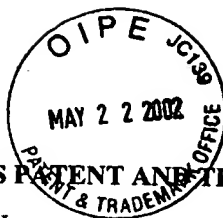


Docket No. 216270US-6X PCT
ENKEL 8628



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10/24/02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: BENGT ROTHMAN ET AL

SERIAL NO: 09/926,612

GAU: 2834

FILED: FEBRUARY 26, 2002

EXAMINER: UNASSIGNED

FOR: METHOD FOR A ROTATING ELECTRIC MACHINE AND A MACHINE FOR CARRYING OUT THE METHOD

INFORMATION DISCLOSURE/RELATED CASE STATEMENT UNDER 37 CFR 1.97

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

SIR::

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The Applicant(s) wish to make of record the references listed on the attached form PTO-1449, as filed in "holding application" Serial No. 09/147,325 filed February 17, 1999, which are relevant to the present case as well as related "bulk filing applications" cases, as discussed in Paper No. 11 (copy enclosed) Response to Petition under 37 CFR 1.182 Seeking Special Treatment Relating to an Electronic Search Tool, and Decision on Petition under 37 CFR 1.183 Seeking Waiver of Requirements under 37 CFR 1.98 (i.e., the "Response to Petition"). Because the references were cited by foreign examiners in a foreign case that corresponds with one of the U.S. "bulk filing applications", or were uncovered by the present assignee in the course of performing supplemental searches, the references are believed to be relevant to the present application and bulk filing applications. Three copies of each of the listed references were provided in "holding application" Serial No. 09/147,325 to the Patent Office consistent with the requirements in the Response to Petition.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

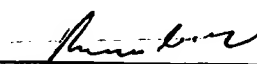


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Respectfully submitted,

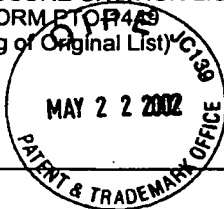
OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.


Bradley D. Lytle
Registration No. 40,073

Thomas J. Fisher
Registration No. 44,681

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INFORMATION DISCLOSURE CITATION LIST
ALTERNATE FORM PTO P449
(Corrected Listing of Original List)



Docket Number:
216270US-6X PCT

Application Number
09/926,612

Applicant(s):
BENGT ROTHMAN ET AL

Filing Date:
FEBERUARY 26, 2002

Group Art Unit:
2834

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
BM	1	US1304451	5/20/19	L. H. Burnham			
	2	US1418856	6/2/22	Robert B. Williamson			
	3	US1481585	1/22/24	James Robert Beard			
	4	US1728915	9/24/29	E. P. Blankenship et al			
	5	US1742985	1/7/30	L. H. Burnham			
	6	US1747507	2/18/30	Robert B. George			
	7	US1756672	4/29/30	John M. Barr			
	8	US1762775	6/10/30	Albert G. Ganz			
	9	US1781308	11/11/30	Mauritz Vos			
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✓	44	US3372283	5/5/68	A. A. Jaecklin			

Examiner

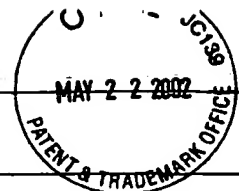
B. Muller

Date

Considered 3/2/04

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INFORMATION DISCLOSURE CITATION LIST
ALTERNATE FORM PTO-1449
 (Corrected Listing of Original List)



Bm	45	US3418530	11/24/68	W. H. Cheever			
	46	US3435262	3/25/69	R. B. Bennett et al			
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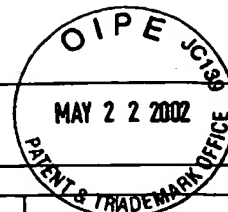
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INFORMATION DISCLOSURE CITATION LIST
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 (Corrected Listing of Original List)



BM	97	US4106069	8/8/78	J. Trautner et al			
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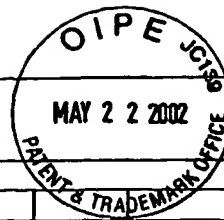
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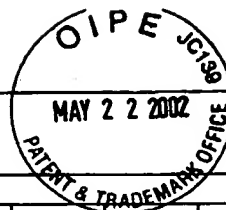
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 (Corrected Listing of Original List)



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↓	199	US4883230	11/28/89	L. Lindstrom			

Examiner	<i>B. Muller</i>	Date Considered	3/1/04
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP0 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			

INFORMATION DISCLOSURE CITATION LIST
ALTERNATE FORM PTO-1449
 (Corrected Listing of Original List)



BM	200	US4894284	1/16/90	S. Yamanouchi et al			
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Examiner	<i>B. Muller</i>	Date Considered	3/1/04
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Bm ↓ ✓	252	US5598137	1/28/97	F. Alber et al			
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Subtotal	259						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
Bm ↓ ✓	1	AT399790	7/25/95	Austria		
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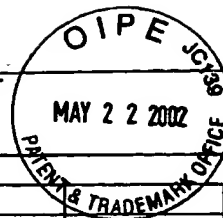
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INFORMATION DISCLOSURE CITATION LIST
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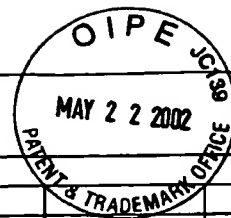
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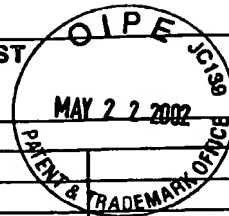
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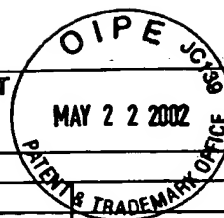
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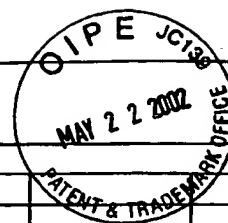
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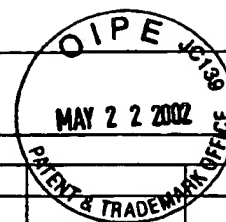
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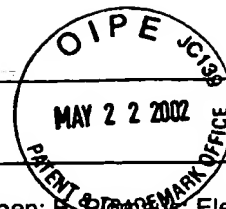
OTHER REFERENCES (Including Title, Author, Date, Pertinent Pages, etc.)

BM	1	OD001	Shipboard Electrical Insulation; G. L. Moses, 1951, pp2&3
	2	OD002	ABB El krafthandbok; ABB AB; 1988 ; pp274-276
	3	OD003	El kraf t�knisk Handbok, 2 El maskiner; A. Alfredsson et al; 1988, pp 121-123
	4	OD004	High Voltage Cables in a New Class of Generators Powerformer; M. Leijon et al; 6/14/99; pp1-8.
	5	OD005	Ohne Tranformator direkt ins Netz; Owman et al, ABB, AB; 2/8/99; pp48-51
	6	OD006	Submersible Motors and Wet-Rotor Motors for Centrifugal Pumps Submerged in the Fluid Handled; K.. Bienick, KSB; 2/25/88; pp9-17
	7	OD007	High Voltage Generators; G. Beschastnov et al; 1977; Vol 48. No. 6 pp1-7
	8	OD008	Eine neue Type von Unterwassermotoren; Electrotechnik und Maschinenbau, 49; 8/1931; pp2-3
	9	OD009	Problems in design of the 110-500kV high-voltage generators; Nikiti et al; World Electrotechnical Congress; 6/21-27/77; Section 1. Paper #18
	10	OD010	Manufacture and Testing of Roebel bars; P. Marti et al; 1960, Pub.86, Vol 8, pp 25-31
	11	OD011	Hydroalternators of 110 to 220 kV Elektrotechn. Obz., Vol. 64, No. 3, ppl32-136 March 1975; A. Abramov
	12	OD012	Design Concepts for an Amorphous Metal Distribution Transformer; E. Boyd et al; IEEE 11/84
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	19	OD019	Technik und Anwendung moderner Tauchpumpen; A. Heumann; 1987
✓	20	OD020	High capacity synchronous generator having no tooth stator; V.S. Kildishev et al; No.1, 1977 pp11-16.

Examiner	<i>BMuller</i>	Date	3/1/04
		Considered	

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INFORMATION DISCLOSURE CITATION LIST
ALTERNATE FORM PTO-1449
 (Corrected Listing of Original List)

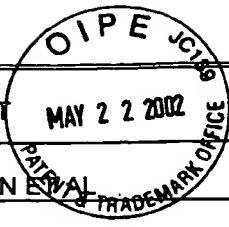


BOM	21	OD021	Der Asynchronmotor als Antrieb stopfbuchsloser Pumpen; E. P. Krause, Elektrotechnik und Maschinenbau No. 78, pp153-155, 1961
	22	OD022	Low core loss rotating flux transformer; R. F. Krause, et al; American Institute Physics J. Appl. Phys Vol 64 #10 11/1988, pp5376-5378
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	25	OD025	Power System Stability and Control; P. Kundur, 1994; pp23-25; page 767
	26	OD026	Six phase Synchronous Machine with AC and DC Stator Connections, Part II: Harmonic Studies and a proposed Uninterruptible Power Supply Scheme; R. Schiferl et al.; 8/1983 pp 2694-2701
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	35	OD036	Toroidal winding geometry for high voltage superconducting alternators; J. Kirtley et al; MIT - Elec. Power Sys. Engrg. Lab for IEEE PES; 2/1974
	36	OD037	High-Voltage Stator Winding Development; D. Albright et al; Proj. Report EL339, Project 1716, April 1984
	37	OD038	POWERFORMER™: A giant step in power plant engineering; Owman et al; CIGRE 1998, Paper 11:1.1
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	41	OD042	Cloth-transformer with divided windings and tension annealed amorphous wire; T. Yamamoto et al; IEEE Translation Journal on Magnetism in Japan Vol 4, No. 9 Sept. 1989
	42	OD043	A study of equipment sizes and constraints for a unified power flow controller; J. Bian et al; IEEE 1996
Subtotal		43	

GRAND TOTAL	671		
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Examiner	<i>B. M. M.</i>	Date	3/1/04
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			

INFORMATION DISCLOSURE CITATION LIST ALTERNATE FORM PTO-1449 Issue 2: dated 02/21/00	Docket Number: 216270US-6X PCT	Application Number 09/926,612
	Applicant(s): BENGT ROTHMAN	
	Filing Date: FEBRUARY 26, 2002	Group Art Unit: 2834



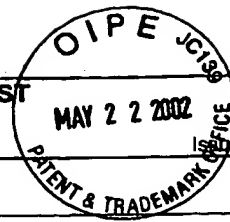
U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
Bn ↓	1	US 4,292,558	9/29/1981	Carl Flick et al			
	2	US 4,656,316	4/7/1987	Hans-Juergen Meltsch			
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Examiner <i>Bmuller</i>	Date Considered 3/1/04
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INFORMATION DISCLOSURE CITATION LIST
ALTERNATE FORM PTO-1449



Issue 2: dated 02/21/00

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
BM	1	GB 1,319,257	6/6/1973	Anders R. Andersson et al		
	2	GB 1,322,433	7/4/1973	Siemens Akstengesellschaft		
	3	GB 2,070,341	9/3/1981	Hans-Georg Raschbichler et al		
	4	WO 98/20598	5/14/1998	Jan-Anders Karlfeldtsgatan et al		
	5	WO 98/20602	5/14/1998	Soren Berggren		
	6	WO 98/34239	8/6/1998	Gunnar Steneorpsgatan et al		
	7	WO 99/28922	6/10/1999	Thorsten Schutte et al		
	8	WO 99/29005	6/10/1999	Mats Leijon et al		
	9	WO 99/29023	6/10/1999	Peter Carstensen et al		
	10	WO 99/29025	6/10/1999	Mats Leijon et al		
	11	EP 0056580 A1	7/28/1982	Jacobus F.H. Van der Vegt		
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**INFORMATION DISCLOSURE CITATION LIST
ALTERNATE FORM PTO-1449**

Issue2: dated 02/21/00

OTHER REFERENCES (Including Title, Author, Date, Pertinent Pages, etc.)

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INFORMATION DISCLOSURE CITATION LIST
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(additional to original listing)

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BENGT ROTHMAN ET AL

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Group Art Unit:
2834

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
BGM	1	US 1,508,456	9/16/24	W.G.Lenz			
	2	US 1,904,885	4/18/33	G.A.Seeley			
	3	US 2,409,893	10/22/46	W.W. Pendleton et al			
	4	US 2,650,350	8/25/53	P.D. Heath			
	5	US 2,749,456	06/05/56	F.O. Luenberger			
	6	US 3,014,139	12/19/61	L.P. Shildneck			
	7	US 3,197,723	7/27/65	I.K.Dortort			
	8	US 3,392,779	7/16/68	K.B. Tilbrook			
	9	US 3,411,027	11/12/68	H. Rosenberg			
	10	US 3,541,221	11/17/70	M.Aupoix et al			
	11	US 3,571,690	3/23/71	V V A V Lataisa			
	12	US 3,651,244	3/21/72	D.A. Silver et al			
	13	US 3,660,721	5/2/72	L.L.Baird			
	14	US 3,666,876	5/30/72	E.O.Forster			
	15	US 3,684,906	8/15/72	H.G.Lexz			
	16	US 3,699,238	10/17/72	T.E.Hansen et al			
	17	US 3,743,867	7/3/73	J.L. Smith, Jr.			
	18	US 3,787,607	1/22/74	H.J.Schlaflly			
	19	US 3,813,764	6/4/74	E. Tanaka et al			
	20	US 3,828,115	8/6/74	A.Hvizd, Jr.			
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	22	US 3,993,860	11/23/76	J.P.Snow et al			
	23	US 4,008,367	2/15/77	H. Sunderhauf			
	24	US 4,132,914	1/2/79	G.M. Khutoretsky			
	25	US 4,314,168	2/2/82	O. Breitenbach			
	26	US 4,321,426	3/23/82	F.K.Schaeffer			
	27	US 4,361,723	11/30/82	A.Hvizd Jr. et al			
	28	US 4,365,178	12/21/82	H.G.Lexz			
	29	US 4,367,890	1/11/83	F.Spirk			
	30	US 4,384,944	5/24/83	D. A. Silver et al			
	31	US 4,401,920	8/30/83	R.S.Taylor et al			
	32	US 4,432,029	2/14/84	B. Lundqvist			
	33	US 4,437,464	3/20/84	J.J.Crow			
	34	US 4,484,106	11/20/84	R.S.Taylor et al			
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	36	US 4,508,251	4/2/85	K.Harada et al			
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	39	US 4,615,778	10/7/86	R.K.Elton			
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	42	US 4,723,083	2/2/88	R.K.Elton			
	43	US 4,724,345	2/9/88	R.K.Elton et al			
	44	US 4,732,412	3/22/88	R. D.A. van der Linden et al			

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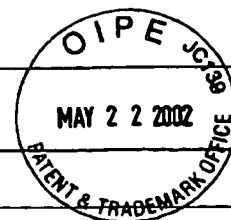
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Sheet 2 of 7

**INFORMATION DISCLOSURE CITATION LIST
ALTERNATE FORM PTO-1449**



FOREIGN PATENT DOCUMENTS						
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
BM	1	DE 209,313	4/25/84	Germany		
	2	DE 134,022	12/28/01	Germany		
	3	DE 1,465,719	5/22/69	Germany		
	4	DE 19,020,222	3/13/97	Germany		
	5	DE 19,620,906	1/8/96	Germany		
	6	DE 386,561	12/13/23	Germany		
	7	DE 3,925,337	2/7/91	Germany		
	8	DE 406,371	11/21/24	Germany		
	9	DE 4,402,184	8/3/95	Germany		
	10	DE 4,438,186	5/2/96	Germany		
	11	DE 975,999	1/10/63	Germany		
	12	EP 0,102,513	1/22/86	European		
	13	EP 0,185,788	7/2/86	European		
	14	EP 0,221,404	5/16/90	European		
	15	EP 0,503,817	9/16/92	European		
	16	EP 0,620,630	10/19/94	European		
	17	EP 0,739,087 A2	10/23/96	European		
	18	EP 0,739,087 A3	3/27/97	European		
	19	EP 0,749,193 A3	3/26/97	European		
	20	EP 0,749,190 A2	12/18/96	European		
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	22	FR 2,481,531	10/30/81	France		
	23	FR 916,959	12/20/46	France		
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	26	EP 0,469,155 A1	2/5/92	European		
	27	GB 2,150,153	6/26/85	United Kingdom		
	28	GB 2,332,557	6/23/99	United Kingdom		
	29	DE 468,827	7/13/97	Germany		
	30	GB 666,883	2/20/52	United Kingdom		
	31	GB 739,962	11/2/55	United Kingdom		
	32	HU 175,494	11/28/81	Hungary		
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	34	JP 57,126,117	5/8/82	Japan		
	35	JP 62,320,631	6/23/89	Japan		
	36	JP 7,161,270	6/23/95	Japan		
	37	JP 8,036,952	2/6/96	Japan		
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	39	SU 1,189,322	10-86	Switzerland		
	40	SU 266,037	10/11/65	Switzerland		
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	42	WO 91/11841	8/8/91	PCT		
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	44	WO 91/15755	10/17/91	PCT		
	45	WO 97/29494	8/14/97	PCT		
	46	WO 98/40627	9/17/98	PCT		
	47	WO 98/43336	10/1/98	PCT		
	48	PCT/DE 90/00279	11/27/90	Int'l Search Report		

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ALTERNATE FORM PTO-1449
(Corrected Listing of Original List)**



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BM	1	OD 044	A test installation of a self-tuned ac filter in the Konti-Skan 2 HVDC link; T. Holmgren, G. Asplund, S. Valdemarsson, P. Hidman of ABB; U. Jonsson of Svenska Kraftnat; O. loof of Vattenfall Vastverige AB; IEEE Stockholm Power Tech Conference 6/1995, pp 64-70
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	5	OD 048	J&P Transformer Book 11 th Edition; A. C. Franklin et al; owned by Butterworth - Heinemann Ltd, Oxford Printed by Hartnolls Ltd in Great Britain 1983, pp29-67
	6	OD 049	Transformerboard; H.P. Moser et al; 1979, pp 1-19
	7	OD 050	The Skagerrak transmission - the world's longest HVDC submarine cable link; L. Haglof et al of ASEA; <i>ASEA Journal</i> Vol 53, Number 1-2, 1980, pp 3-12
	8	OD 051	Direct Connection of Generators to HVDC Converters: Main Characteristics and Comparative Advantages; J. Arrillaga et al; <i>Electra</i> No. 149, 08/ 1993, pp 19-37
	9	OD 052	Our flexible friend article; M. Judge; <i>New Scientist</i> , 05/10/1997, pp 44-48
	10	OD 053	In-Service Performance of HVDC Converter transformers and oil-cooled smoothing reactors; G.L. Desilets et al; <i>Electra</i> No. 155, 08/1994, pp 7-29
	11	OD 054	Transformateurs a courant continu haute tension-examen des specifications; A. Lindroth et al; <i>Electra</i> No 141, 04/1992, pp 34-39
	12	OD 055	Development of a Termination for the 77 kV-Class High Tc Superconducting Power Cable; T. Shimonosono et al; <i>IEEE Power Delivery</i> , Vol 12, No 1, 01/1997, pp 33-38
	13	OD 056	Verification of Limiter Performance in Modern Excitation Control Systems; G. K. Girgis et al; <i>IEEE Energy Conservation</i> , Vol. 10, No. 3, 09/1995, pp 538-542
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	15	OD 058	Design, manufacturing and cold test of a superconducting coil and its cryostat for SMES applications; A. Bautista et al; <i>IEEE Applied Superconductivity</i> , Vol 7, No. 2, 06/1997, pp 853-856
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	26	OD 070	Variable-speed switched reluctance motors; P.J. Lawrenson et al; <i>IEE proc</i> , Vol 127, Pt.B, No.4, 07/1980, pp 253-265

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	28	OD 072	Power Transmission by Direct Current; E. Uhlmann; ISBN 3-540-07122-9 Springer-Verlag, Berlin/Heidelberg/New York; 1975, pp 327-328
	29	OD 073	Elektriska Maskiner; F. Gustavson; Institute for Elkraftteknik, KTH; Stockholm, 1996, pp 3-6 - 3-12
	30	OD 074	Die Wechselstromtechnik; A. Cour' Springer Verlag, Germany; 1936, pp 586-598
	31	OD 075	Insulation systems for superconducting transmission cables; O. Toennesen; Nordic Insulation Symposium, Bergen, 1996, pp 425-432
	32	OD 076	MPTC: An economical alternative to universal power flow controllers; N. Mohan; EPE 1997, Trondheim, pp 3.1027-3.1030
	33	OD 078	Lexikon der Technik; Luger; Band 2, Grundlagen der Elektrotechnik und Kerntechnik, 1960, pp 395
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	44	OD 089	Performance Characteristics of a Wide Range Induction Type Frequency Converter; G.A. Ghoneem; Ieema Journal, September 1995, pp 21-34
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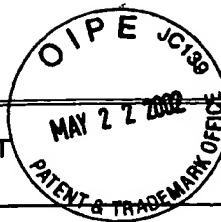
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Subtotal	53		
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INFORMATION DISCLOSURE CITATION LIST ALTERNATE FORM PTO-1449 (additional to original listing)	Docket Number: 216270US-6X PCT	Application Number 09/926,612
	Applicant(s): BENGT ROTHMAN ET AL	
	Filing Date: FEBRUARY 26, 2002	Group Art Unit: 2834

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
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INFORMATION DISCLOSURE CITATION LIST
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FOREIGN PATENT DOCUMENTS						
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**INFORMATION DISCLOSURE CITATION LIST
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OTHER REFERENCES (Including Title, Author, Date, Pertinent Pages, etc.)

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Examiner	Date Considered
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Form PTO 1449
(Modified)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY DOCKET NO.
216270US6XPCTSERIAL NO.
09/926,612

LIST OF REFERENCES CITED BY APPLICANT

APPLICANT

Bengt ROTHMAN, et al.

FILING DATE
February 26, 2002GROUP
2834

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
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	AB	4,326,181	4/82	Allen			
	AC	4,552,990	11/85	Persson et al			
	AD	4,663,603	5/87	van Riemsdijk et al			
	AE	5,175,396	12/92	Emery et al			
	AF	5,239,146	3/94	Aosaki et al			
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FOREIGN PATENT DOCUMENTS

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Examiner

B. Muller

Date Considered 3/1/04

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